

IN THE U.S. PATENT AND TRADEMARK OFFICE

DECLARATION

ATTORNEY'S DOCKET NO.  
11129/2

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **SYSTEM AND METHOD FOR TRADING AN INSTRUMENT**, the specification of which is being filed herewith.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

PRIOR FOREIGN APPLICATION(S)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. § 119

PRIOR UNITED STATES APPLICATION(S)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

APPLICATION NUMBER	FILING DATE (day, month, year)

71303288536 US

SEND CORRESPONDENCE, AND DIRECT TELEPHONE CALLS TO:

**KENYON & KENYON**  
**One Broadway**  
**New York, New York 10004**  
**(212) 425-7200 (phone)**  
**(212) 425-5288 (facsimile)**

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR	FAMILY NAME <b>GOOCH</b>	FIRST GIVEN NAME <b>Michael</b>	SECOND GIVEN NAME <b>Adrian</b>
RESIDENCE & CITIZENSHIP	CITY <b>Rumson</b>	STATE OR FOREIGN COUNTRY <b>New Jersey</b>	COUNTRY OF CITIZENSHIP <b>United Kingdom</b>
POST OFFICE ADDRESS	POST OFFICE ADDRESS <b>76 West River Rd</b>	City <b>Rumson</b>	STATE & CODE/COUNTRY <b>NJ 07760 USA</b>
Signature	Date <b>11/18/99</b>		

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**APPOINTMENT OF POWER OF ATTORNEY  
BY ASSIGNEE OF ENTIRE INTEREST**

GFI Group, Inc., as assignee of the entire right, title, and interest in the application for patent entitled **SYSTEM AND METHOD FOR TRADING AN INSTRUMENT**, being filed Herewith, does hereby appoint Thomas J. Meloro, Registration No. 33,538 and Alex Skucas, Registration No. 42,155 as its attorneys/agents with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please address all communications regarding this application to:

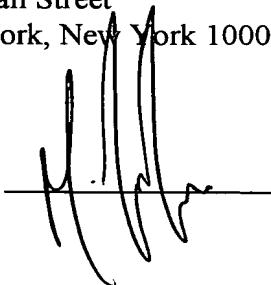
Alex Skucas, Esq.  
KENYON & KENYON  
One Broadway  
New York, New York 10004  
USA

Please direct all telephone calls to Alex Skucas at (212) 425-7200.

GFI GROUP, INC.  
100 Wall Street  
New York, New York 10005, United States of America

Dated: Nov 16, 1999

By:  
Name:  
Title:



U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

<b>VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS UNDER 37 C.F.R. 1.9(f) and 1.27(c)</b>		Docket Number: 11129/2
Application Number Not Yet Assigned	Filing Date Herewith	Examiner Art Unit
Invention Title SYSTEM AND METHOD FOR TRADING AN INSTRUMENT		Inventor(s) Michael Gooch

Address to:  
Assistant Commissioner for Patents  
Washington D.C. 20231

With respect to the invention described in application being filed herewith, I declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: GFI GROUP, INC.  
Address of Concern: 100 Wall Street  
New York, New York 10005  
United States of America

and that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35 U.S.C., in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement: (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year; and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

**1. OWNERSHIP OF INVENTION BY DECLARANT**

I hereby declare that all rights under contract or law have been conveyed to the above identified Small Business Concern, and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern

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under 37 CFR 1.9(d) or (3) a non-profit organization under 37 CFR 1.9(e).

## 2. ACKNOWLEDGMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

## 3. DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 USC 1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Signer's Name <u>MICHAEL GOODMAN</u>	Signature 	Date <u>11/16/99</u>
Signer's Title:		
Signer's Address: 100 Wall Street New York, New York 10005 United States of America		
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